

CALIFORNIA JUDICIAL BRANCH

# Strategic Plan for Technology

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2014–2018

**Technology Planning Task Force**

**August 21, 2014**

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## **Message from the Technology Planning Task Force Chair**

Dear Friends of the Courts,

The Technology Planning Task Force, appointed by Chief Justice Tani G. Cantil-Sakauye, and the Judicial Council Technology Committee are pleased to present the Judicial Branch Strategic Plan for Technology.

A comprehensive and collaborative technology plan, grounded in the technology needs of the courts, is the key to branch technology progress and funding. Dramatic changes have occurred both in the evolution of information technology and the needs of the courts. We need to advance to better support our justice partners and the people of California.

Enhancing electronic access to justice and promoting more efficient practices through information technology aligns with the core values of our judicial branch and with the proposed technology vision. Chief Justice Cantil-Sakauye's recently announced vision for restoring access to our courts, Access 3D, includes remote access as one of its principles. The "digital court" with the capability of 21st century data exchange, within the judicial branch and with justice partners where appropriate, will not only allow us to do more with less but also significantly broaden meaningful access to the courts for litigants, lawyers, justice partners, and the public.

James E. Herman  
Chair, Judicial Council Technology Committee  
and Technology Planning Task Force.

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## INTRODUCTION

This document presents the judicial branch **Strategic Plan for Technology**. It addresses a devastating reduction in judicial branch funding and the need to revise and update the strategic plan and governance model for technology. It establishes a roadmap for the adoption of technology solutions that further the administration of justice and meet the needs of the people of California.

Recommendations for the judicial branch Technology Governance and Funding Model along with this document and the associated Tactical Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level. The future will be built upon the success of local and branchwide innovation and leadership. These are the results from the Technology Planning Task Force, which includes judicial officers, court executive officers, chief information officers, and other stakeholders representing the trial and appellate courts and the public.

The proposed strategies recognize the diversity of the trial courts along with the judicial, management and technical expertise located at the trial, appellate, and Supreme Court levels, and including the Judicial Council staff. The approach centers on working as an information technology (IT) community that can form consortia to leverage and optimize resources to achieve its goals and overall branch objectives. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and public, increasing access to the courts.

## Technology Planning Documents

Results from the Technology Planning Task Force include the following documents:

<b>Document</b>	<b>Description</b>
Technology Governance, Strategy, and Funding Proposal: Executive Summary	An overview of the proposed framework for the oversight of technology programs, strategic initiatives, and associated funding mechanisms. This includes a set of models, processes, and tools to ensure the effective and efficient use of information technology.
Technology Governance and Funding Model	Detailed recommendations from the Technology Planning Task Force for technology governance and funding, including suggested decision-flow processes, internal and external benchmarking data, and detailed analysis of the proposed governance and funding models.
Four-year Strategic Plan for Technology (2014–2018) (this document)	The strategic goals, objectives, and metrics for technology initiatives over the next four years.
Two-year Tactical Plan for Technology (2014–2016)	Individual initiatives that will contribute to and support the Strategic Plan for Technology.

## Business Context

Many of the business drivers that shaped the creation and content of the Technology Governance and Funding Model and the associated Strategic Plan for Technology and Tactical Plan for Technology reflect the complexity and diversity of the California judicial branch and the population that it serves. The California court system—the largest in the nation, with more than 2,000 judicial officers, approximately 18,000 court employees, and nearly 8.5 million cases—serves over 38 million people. The state Constitution vests the judicial power of California in the Supreme Court, Courts of Appeal, and superior courts. The Constitution also provides for the formation and functions of the Judicial Council, the policymaking body for the state courts and other agencies.

The judicial branch has diversity in geography, court size, and case types. The smallest superior court has two judicial officers serving a population of just over 1,000 people while the largest has 587 judicial officers serving a population of almost 10 million people. Courts have varying fiscal health and capabilities and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the court like they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written to address a paper-based court rather than a digital electronic one.

## Technology Vision

A technology vision guides the branch to where it needs to be to promote consistency statewide while providing local court innovation to best meet the needs of California citizens. The vision for judicial branch technology is:

Through collaboration, initiative, and innovation on a statewide and local level, the judicial branch adopts and uses technology to improve access to justice and provide a broader range and higher quality of services to the courts, litigants, lawyers, justice partners, and the public.

This vision also sets forth the framework within which guiding principles can readily be applied.

## Technology Principles

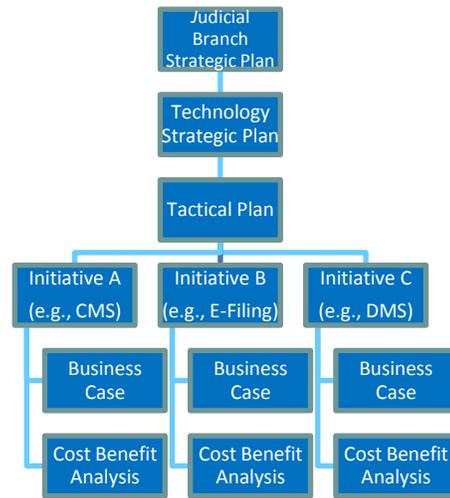
Guiding principles establish a set of considerations for technology project decision-makers. They articulate the fundamental values that provide overall direction to technology programs within the justice community. As principles, they are not mandates nor do they establish conditions for technology project advancement. These guiding principles are in no way intended to obligate courts to invest in new, or to modify existing, solutions or services.

1. **Ensure Access and Fairness.** Use technologies that allow all court users to have impartial and effective access to justice.
2. **Include Self-Represented Litigants.** Provide services to those representing themselves, as well as those represented by attorneys.
3. **Preserve Traditional Access.** Promote innovative approaches for public access to the courts while accommodating persons needing access through conventional means.
4. **Design for Ease of Use.** Build services that are user-friendly, and use technology that is widely available.
5. **Provide Education and Support.** Develop and provide training and support for all technology solutions, particularly those intended for use by the public.
6. **Secure Private Information.** Design services to comply with privacy laws and to assure users that personal information is properly protected.
7. **Provide Reliable Information.** Ensure the accuracy and timeliness of information provided to judges, parties, and others.
8. **Protect from Technology Failure.** Define contingencies and remedies to guarantee that users do not forfeit legal rights when technologies fail and users are unable to operate systems successfully.
9. **Improve Court Operations.** Advance court operational practices to make full use of technology and, in turn, provide better service to court users.
10. **Plan Ahead.** Create technology solutions that are forward thinking and that enable courts to favorably adapt to changing expectations of the public and court users.
11. **Improve Branchwide Compatibility Through Technology Standards.** Provide branchwide technology standards or guidelines related to access to information or submission of documents that support the branch's goal of greater compatibility for the public and state justice partners.
12. **Consider Branchwide Collaboration and Economies of Scale.** Identify opportunities to collaborate on technologies to reduce costs, leverage expertise and training, and improve consistency.
13. **Foster Local Decision-Making.** Develop, fund, and implement technologies to improve local business processes that may provide a model for wider implementation.
14. **Encourage Local Innovation.** When developing branchwide technologies, allow for adaptation to address local needs, foster innovation, and provide, where appropriate, a model for wider implementation.

# STRATEGIC PLAN

A strategic plan describes the overall goals for an organization. The associated tactical plan outlines the initiatives that provide a roadmap for achieving those goals.

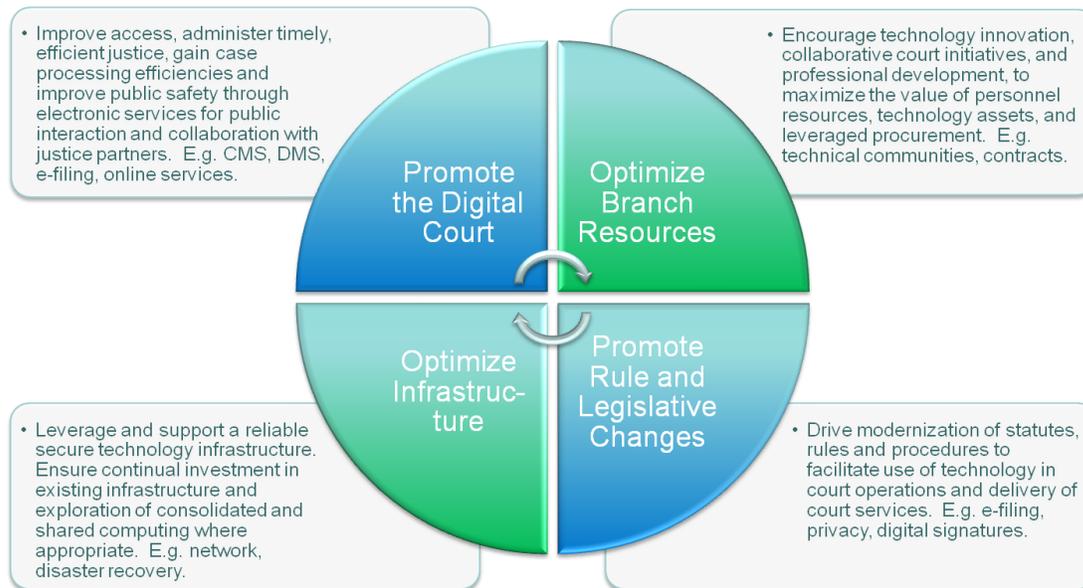
The branch technology strategic plan is a cascading plan that supports the Judicial Council Strategic Plan for the branch. The branch strategic plan and goals will drive a four-year technology strategic plan, which will then drive a detailed two-year tactical plan consisting of individual projects. Before implementation, individual projects will have a clearly stated business case and cost-benefit analysis.



All of these activities will align with the overall goals of the branch.

## Summary of Technology Goals (2014–2018)

The Technology Planning Task Force has identified four technology goals for the branch in support of the overall goal of providing access to justice.



## Detailed Description of Technology Goals (2014–2018)

### Goal 1: Promote the Digital Court

The primary goal of this strategic plan is to promote the Digital Court environment. The Digital Court is an ambitious goal that is divided into two parts:

- Digital Court Part 1: Foundation
- Digital Court Part 2: Access, Services, and Partnerships

Part 1 focuses on core systems such as case management systems and document management systems. Part 2 focuses on providing electronic services to the public and other parties who interact with the court to increase access to justice.

### Goal 1: Promote the Digital Court—Part 1: Foundation

#### *Statement of Goal*

The judicial branch will increase access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by establishing a foundation for the Digital Court throughout California.

#### *Business Driver/Need*

It is essential for the judicial branch to implement and maintain information technology solutions that better meet the needs of the public by administering timely and efficient justice, enhancing court operations, and improving public safety. The courts require technology systems that are optimized to maintain effective operations and meet the demands of internal and external stakeholders for access to court information and services.

To effectively serve the needs of the public, a foundational set of technologies is required. These include modern case and document management systems, fiscal and human resource systems, and technologies allowing better collaboration with justice partners that also assist judicial and administrative decision-makers in the administration of justice.

The 58 trial courts and the appellate courts use a broad assortment of technologies. Many of these are functionally obsolete and are incapable of supporting the needs and expectations of an increasingly technology-literate public and court personnel.

Before any court in the branch can provide the range of services and access the public expects from a true “digital court,” the necessary foundation and infrastructure must be provided. Full implementation of these modern foundational technologies that adhere to common standards will be critical to achieving both local court and branchwide efficiencies.

**Objectives (prioritized)**

- 1.1.1. Establish a digital court foundation by implementing modern and supportable case management systems (CMS) and document management systems (DMS) where needed to allow all courts to efficiently deliver services to the public.
- 1.1.2. Ensure that courts have the ability to operate independently of local government infrastructure for critical court operations.
- 1.1.3. Facilitate or provide shared technology infrastructure for courts without local resources and/or for those courts who wish to collaborate or leverage other opportunities for shared services.
- 1.1.4. Effectively utilize the digital court foundation to enable:
  - Extended access and services to the public, including electronic filing.
  - Enhanced judicial and administrative decision-making.
  - Data and information sharing across the courts.
  - Enhanced collaboration and cooperation between and among courts.
  - Enhanced collaboration and cooperation with local and statewide justice partners to promote public safety.

## Areas of focus to enable “Digital Courts”:

- **Case Management Systems (CMS).** Implement modern and supportable court case management systems, where needed, to provide timely and accurate case information, improve public safety, support judicial decision-making, enable electronic filing (e-filing), and provide court operational efficiencies.
- **Document Management Systems (DMS)/Enterprise Content Management Systems (ECM).** Implement DMS / ECM Systems to enhance court operations, enabling automated administrative and judicial workflows. The use of electronic documents and case files will provide more immediate and reliable access to court documents for judicial officers and the public and will significantly reduce retrieval, storage, and destruction costs. Electronic case files will also permit common disaster recovery solutions.
- **Back office systems.** Implement modern financial, human resource, and productivity software systems to enhance court operations and provide accountability for use of public resources at both the local and branch levels.
- **Jury management systems.** Implement latest generation jury management systems in all trial courts to include extended automated solutions (i.e., online self-service, document management, text notifications, kiosks, etc.) to improve the convenience and quality of jury service.
- **Access.** Establish standards and methods to provide remote public access solutions to essential court information and services in all courts.
- **Decision support.** Establish judicial and administrative decision support systems integrating CMS, DMS/ECM, and justice partner information to enhance decision-making.

***Anticipated Results/Benefits/Outcome***

- Achieve cost savings, operational efficiencies, and enhanced case processing through the use of modern, standards-based case and document/content management systems.
- Achieve branchwide efficiencies by using common back office and jury systems where appropriate and leveraging branchwide economies of scale while balancing the need for local agility.
- Eliminate or reduce the costs associated with the storage, retrieval, archiving, and destruction of paper court records and improve access for internal court users and the public.
- Provide greater insight into court performance and guidance for local resource allocation through measurable case flow management standards.
- Help support a workforce that has been reduced over the past several years.
- Provide the court, judges, attorneys, litigants, and the public with faster access to information.

***Dependencies/Requirements***

Technology has inherently high costs in acquisition, deployment, and maintenance. Not all courts have the fiscal and human resources to acquire and implement current technology, or to support the technology once installed. Collaboration and cooperation between courts by sharing and leveraging resources will be necessary to support and sustain innovation. Significant technology projects require time to implement and are rarely capable of completion within a single fiscal year. Stable and predictable funding for both branch and local technology projects is essential to the success of any project, and to the future of the branch. Transparent and accountable management of technology projects and resources is essential to obtain support from other branches of government.

Overall goal dependencies:

- Clear, efficient governance.
- Adoption of a branch tactical plan/roadmap for CMS enabling, over time, highly functional modern e-business-capable case management systems in every court.
- Access to DMS/ECM for every court and the business and technical support required.
- Adoption of a tactical e-filing plan/roadmap for the branch, with clearly articulated common standards.
- Sufficient and stable funding to acquire, deploy, and maintain the programs.

Applicable to all system acquisitions:

- Assessment of current and anticipated local and branch needs.
- Prioritization of court implementations based on urgency, capability, and financial resources.
- Decisions on use of local, shared, or branchwide solutions.

- Roadmap—which courts are going to use which systems, when, hosted where, supported by whom, etc.

***Metrics (measures of progress toward implementation of this goal)***

- Number of courts providing full/partial Digital Court services.
- Increasing satisfaction of people who interact with the courts.

## **Goal 1: Promote the Digital Court—Part 2: Access, Services, and Partnerships**

### ***Statement of Goal***

The judicial branch will improve access to the courts, administer timely and efficient justice, gain case processing efficiencies, and improve public safety by implementing a comprehensive set of services for both public interaction with the courts and collaboration with branch justice partners.

### ***Business Driver/Need***

It is essential that the judicial branch implement and maintain information technology solutions that meet the needs of the public, support the administration of timely and efficient justice, support court operations, and enhance public safety. In recent years, courts have been forced to close facilities and to eliminate or curtail many previously provided public services. Court users are increasingly sophisticated in the daily use of technology, relying on a variety of desktop and mobile computing devices to interact with businesses and with each other. They expect government services, including court services, to be provided with the same ease and flexibility available in the business sector, demanding that courts be effective, efficient, and responsive.

To restore, and even expand and enhance, services and access to the public, courts must explore new models, methods, and collaborations; must look to new opportunities to share information with state and local partners; and must find new ways to deliver services to the public, making effective use of available technology. Building on the “digital court” foundation, courts can provide these expanded access and service capabilities—including services to currently underserved populations. Courts can also leverage available technology through strategic business solutions such as shared services and collocated resources.

### ***Objectives (prioritized)***

- 1.2.1. Provide consistent, convenient, and secure remote digital access to court information and services for court users and practitioners, including self-represented litigants, regardless of geographic and jurisdictional limitations and local resource constraints.
- 1.2.2. Increase operational efficiencies by establishing new or expanding existing e-business opportunities.
- 1.2.3. Enhance public safety through expansion of statewide programs such as the California Courts Protective Order Registry (CCPOR) to include all courts.
- 1.2.4. Establish standardized, automated, and timely data exchanges with state (e.g., California Highway Patrol (CHP), Department of Justice (DOJ), Department of Child Support Services (DCSS)) and local partners (e.g., county agencies, collections providers, etc.), to promote public safety and improve the overall effectiveness and efficiency of the California justice system.

Potential areas of focus for access, services, and partnerships include:

- **Online access to case information.** Implement online solutions to allow litigants and the public to access case data and documents where appropriate, consistent with personal privacy and confidentiality considerations.
- **Electronic filing.** Enable electronic filing across case types.
- **Self-service.** Provide “online,” instead of “in line” services for routine transactions historically provided only at the courthouse (e.g., payment of traffic citations).
- **Remote video appearances.** Implement remote video appearances and hearings in appropriate case types and matters.
- **Standards.** Create standardized state (e.g., CHP, DMV, DOJ, DCSS) and local (e.g. district attorney, public defender, and sheriff) interfaces at the branch and local levels, compatible across multiple case management systems.

### ***Anticipated Results/Benefits/Outcome***

- Reduce the cost of court operations and increase the efficient use of court resources.
- Ensure accurate and timely processing of court-related transactions and sharing of information through technology.
- Provide immediately available services, 24/7, to everyone within the judicial branch, in authorized local agencies, and to the public throughout the state.
- Restore and enhance public access to the courts with consistent and convenient access to court information and services across jurisdictions for court users and practitioners, including self-represented litigants.

### ***Dependencies/Requirements***

Each court will vary in its ability to acquire, implement, and support the technology necessary to enable electronic access and services. Not all elements of a local “Digital Court” foundation will be available in every court. Cooperation and collaboration will be essential to making solutions consistent and coherent across the branch. The vision contained in this goal is only achievable to the extent that each court is willing to adopt it and, recognizing local constraints, is willing to work toward its fulfillment.

While technology deployment and implementation typically focuses on providing new capabilities, technology solutions should not create barriers to access for indigent clients, people with disabilities, and those who need language assistance. Technology solutions should be fully accessible.

### ***Metrics (measures of progress toward implementation of this goal)***

- Number of courts providing full/partial Digital Court services.
- Increasing satisfaction of people who interact with the courts.
- Number of courts leveraging standard data exchanges.

## Goal 2: Optimize Branch Resources

### *Statement of Goal*

The judicial branch will maximize the potential and efficiency of its technology resources by fully supporting existing and future required infrastructure and assets, and leveraging branchwide information technology resources through procurement, collaboration, communication, and education.

### *Business Driver/Need*

Over the past few years, budget cuts and reduction in personnel have made maintaining current aging court technology a challenge and replacing it difficult. These same cuts have impacted court operations where technology solutions are needed to help automate manual processes, provide needed tools to staff, and offer electronic services to the public.

The branch cannot address these demands without proper technology and personnel resources. In the short term, optimizing branch resources will provide limited opportunities to make progress on technology goals. In the long term, funding must be restored to sufficiently invest in technology and personnel to allow the branch to operate optimally. Once funding is restored, the branch will continue to optimize branch resources to ensure that return on investment is maximized.

### *Objectives (prioritized)*

- 2.1. Reduce overall cost and effort when purchasing technology by forming groups and consortia to leverage procurements wherever possible.
- 2.2. Recruit, develop, and maintain a workforce with the knowledge, skill, and ability to deliver the full potential of information technology within the branch and to the public.
- 2.3. Maximize the value of limited branch resources through innovative technology solutions that can improve, enhance, and support the efficient and effective implementation and delivery of court programs, processes, and education.
- 2.4. Maximize the return on investment when leveraging existing technology assets and selecting new technologies.
- 2.5. Integrate branchwide strategic priorities into education and professional development programs for judicial officers and court staff.
- 2.6. Promote continual improvement of court practices by collaborating on court technology solutions, leveraging and sharing technology resources, and creating tools to educate court stakeholders and the public.
- 2.7. Identify and implement technology best practices within the branch.

Potential areas of focus for branchwide optimization include:

- **Hardware and software master agreements.** Master agreements have already been established for document management systems, case management systems, networking hardware, and other IT products. Establishing master agreements saves time by

- eliminating the need for courts to conduct individual procurements and usually reduces individual cost to the court and overall cost to the branch through economies of scale.
- **Technology communities.** Create formal and informal communities of interest to share best practices and tools, leverage expertise across the branch, discuss technology issues, and provide input to branchwide initiatives. Communities could focus on issues related to specific court environments such as a small court technology environment or appellate court environment. Other communities could be technology focused and discuss strategies for deployment, configuration, and management of case management systems or create a repository for shared software solutions developed by the courts.
  - **Shared solution catalog.** Courts often have similar issues but these issues are often solved locally by each individual court. Examples include online probable cause processing, document imaging, electronic juror check-in and notification, and electronic traffic citations. These solutions are not typically visible to other courts but could include the opportunity to be leveraged or offer insight into creating other local solutions. Creation and maintenance of a solution catalog, which could begin with publication of a list of existing solutions as a starting point, could help eliminate the redundancy of each individual court trying to solve every problem itself.
  - **Employee retention and development.** Use of typical tools such as wage increases are neither available nor practical during difficult financial times, but other nonmonetary approaches could be evaluated. Ideas include publishing a list of current and future skill requirements for staff in alignment with accomplishing the goals of the strategic plan; creating a mentorship program across the branch to foster personal growth and expand individuals' visibility into other environments; and making suggestions for how employees can self-manage their careers.
  - **Technology professional development.** Training in key technologies and technical processes such as service desk, quality assurance, change management, and program and project management. Computer-based training solutions should be considered in addition to traditional classroom training.
  - **Educational opportunities for judicial officers and court leaders.** Ideas include training in leading change initiatives related to technology, as well as discussion and appropriate networking opportunities within existing and potentially new forums.

### ***Anticipated Results/Benefits/Outcome***

- Reduced time, effort, and overall cost when procuring technology that can be used by several courts.
- Faster time to market in providing technology to the courts and public by leveraging existing solutions.
- Court employees who understand their responsibilities, have the training to do their best work, and have opportunities to grow and expand their career options.
- Court leaders who support and promote the adoption of technology solutions within the branch.

***Dependencies/Requirements***

The willingness and support of court leadership is necessary to facilitate the optimization of branchwide resources, including dedicating sufficient staff time and resources to accomplish this goal.

Collaboration and coordination with the Center for Judiciary Education and Research (CJER) will benefit personnel training and development objectives.

Procurement objectives will benefit from collaboration and coordination with local and branch contracting, procurement, and finance groups. All procurements must follow the policies and procedures outlined in the Judicial Branch Contracting Manual.

***Metrics (measures of progress toward implementation of this goal)***

- Number of master agreements signed.
- Number of courts leveraging master agreements.
- Number of active technology communities.
- Number of courts represented in each community.
- Number of solutions leveraged from the shared solution catalog.
- Number of attendees participating in recommended training classes.
- Overall job satisfaction.

## Goal 3: Optimize Infrastructure

### *Statement of Goal*

The judicial branch will leverage and support a reliable and secure technology infrastructure. It will ensure continual investment in existing infrastructure and exploration of consolidated and shared computing where appropriate.

### *Business Driver/Need*

The judicial branch is addressing the increased expectations and reliance of court users on electronic access to court information by:

- Transitioning from paper-driven processes and services to electronic ones where each official court record will be created, maintained, and stored in a digital format.
- Enabling automated electronic data and information sharing among the courts and with the public, state, and local justice partners, to facilitate automated reporting and collection of statistical information.
- Committing to ensure that adequate disaster recovery provisions will be made for all systems, services, and information maintained by the judicial branch.

This goal relies upon an effective, reliable, efficient, up-to-date, and secure technology infrastructure that includes technology to support local area networks; wide area networks; infrastructure and information security; local, shared, and centralized data centers; unified communications (voice, video); an enterprise service bus; and disaster recovery technologies.

### *Objectives (prioritized)*

- 3.1. Ensure secure and reliable data network connectivity throughout the branch.
- 3.2. Provide a consistent level of infrastructure security across the branch.
- 3.3. Determine if there is any efficiency that could be achieved through the deployment of converged voice and data technologies.
- 3.4. Develop a next-generation data center hosting model that will meet the current and anticipated future business needs of the branch.
- 3.5. Ensure that critical systems and infrastructure can be recovered in a timely manner after a disaster.

Potential areas of focus to optimize infrastructure include:

- **Support and maintain existing branch infrastructure.** The judicial branch must continue to maintain its current data network in support of its business goals to serve the needs of the courts, justice partners, and the public. The network and its supporting technologies must be up to date, effective, reliable, efficient, and secure. These objectives can be achieved by ensuring that all courts have:

- Reliable connectivity to wide-area-network and public Internet services by working with network service providers and upgrading older communication circuit technologies with more modern connectivity solutions.
- Updated information security protection settings and threat detection and prevention systems in place to secure and protect electronic data.
- Network devices that are operating at current software version levels and covered under maintenance agreements.
- **Develop an infrastructure security framework.** The Judicial Council staff provides infrastructure security guidance and provides managed intrusion detection and prevention services. However, courts do not have consistent network security measures in place and many require assistance to implement new systems, procedures, and policies. An infrastructure security framework that includes a model implementation guide, sample procedures, and accompanying policy guide will benefit courts that need assistance and ensure consistency throughout the branch.
- **Investigate an enterprise voice over Internet Protocol (VoIP) and video over Internet Protocol (video over IP) infrastructure.** Possible branchwide efficiencies may be realized by taking advantage of the convergence of communication infrastructure technology, including voice over IP (VoIP,) video, and unified messaging. Although a VoIP implementation playbook has been created for individual courts to utilize if they so choose, the judicial branch currently has no enterprise VoIP solution. This investigation would determine if such a solution would offer a benefit to the branch.
- **Next-generation data center hosting model.** Identify and evaluate options for a flexible, scalable, cost-efficient hosting model designed to provide application and data center hosting services to courts that need those services. The next-generation hosting model could potentially be enabled through a combination of consolidation, virtualization, and implementation of a secure public or private cloud environment.
- **Disaster recovery framework.** Provide a framework for recovering systems and services operated at the individual court level and at the branch level after a disaster. The framework could include a model implementation guide, sample procedures, and recommended policies for use throughout the branch.

### ***Anticipated Results/Benefits/Outcome***

Successful completion of these goals will:

- Ensure continued availability of technology infrastructure systems and services within the judicial branch that are essential for support and delivery of public services provided by courts today.
- Equip the judicial branch with a modern, scalable, efficient, reliable, and secure technology infrastructure that will enable new operational efficiencies, support development of new services and capabilities, and improve public access to justice.

***Dependencies/Requirements***

Stable, long-term funding must be secured to support infrastructure maintenance, replacement, and improvement.

Technology infrastructure experts from industry should be consulted on best practices and recommendations for the selection and implementation of appropriate technologies.

***Metrics (measures of progress toward implementation of this goal)***

- Percentage of critical infrastructure devices that operate at the required software level.
- Percentage of critical infrastructure devices covered by maintenance agreements.
- Infrastructure security framework published.
- Number of courts that have implemented the infrastructure security framework.
- Report published on the analysis of a branch-level converged voice and data infrastructure.
- Report published on next-generation data center hosting model recommendation.
- Disaster recovery framework published.

## Goal 4: Promote Rule and Legislative Changes

### ***Statement of Goal***

The judicial branch will drive modernization of statutes, rules, and procedures to facilitate use of technology in court operations and delivery of court services.

### ***Business Driver/Need***

Many of the current statutes, rules, and procedures governing court operations were written to address a physical, in-person, paper-driven environment. Technology that improves service and increases access to justice through the use of virtual, remote, digital, electronic solutions will continue to prompt a need to review and revise, when necessary, the guidance provided by these rules and legislation. For example, revisions have been made to support electronic filing and remote video appearances. In the near future, rules concerning technologies such as digital signatures should be examined. The judicial branch must promote rule and legislative changes to encourage and provide guidance for the proper use of technology solutions by the courts and members of the public.

Because the process for changing rules and legislation is guided by strict scheduling requirements, the judicial branch must be proactive and allow adequate time for the review, examination, and proposal of any changes. Considerations should be made at the start when technologies are being investigated, not as an afterthought just before they are ready to be deployed.

Furthermore, the addition or modification of rules and legislation must be sensitive to preserving equal access to justice. Although there is a benefit to incorporating technology solutions into the justice process, we cannot place constituents at a disadvantage if they do not have access to those solutions.

### ***Objectives (prioritized)***

- 4.1. Determine if it is necessary to add new rules or legislation or modify any existing ones in anticipation of technology solutions that will be deployed in the near term.
- 4.2. Ensure current rules and legislation do not inhibit the use of current technology solutions.
- 4.3. Ensure rules and legislation support the four-year strategic plan and the two-year tactical plan.

Potential areas of focus for new or updated legislation include:

- **Electronic document processing.** Specific rules, legislation, and procedures that apply to a paper documents must be reviewed, modified, or supplemented appropriately to address the creation, processing, and retention of electronic documents. Examples include:

- Rules for electronic proof of service
  - Standards for filing dates and times
  - Electronic declaration under penalty of perjury
  - Uniform standards for electronic service
  - Uniform rules for electronic filing
  - Use of electronic signatures—in particular, uniform rules for electronic signing and verification.
- **Courtroom technology.** Technology has the opportunity to improve the overall courtroom experience, optimize the utilization of scarce resources, and increase access to justice. Examples include:
    - Remote hearings enabled through video technology or telephone
    - Electronic courtroom record
    - Remote interpreting—American Sign Language (ASL) and foreign languages—enabled through video technology or telephone.
  - **Data and information privacy.** A benefit of electronic information is its ease of access and distribution. This benefit must be balanced by ensuring that the proper controls exist to protect electronic data. Regardless of whether court information is paper based or electronic, access to that information can only be given to entities that have proper authorization.

### ***Anticipated Results/Benefits/Outcome***

- Rules, legislation, and procedures that support, encourage, and appropriately govern electronic information and services.
- Increased access to court services and improved service levels.
- Clear requirements that ensure fair and proper use of technology while protecting information.

### ***Dependencies/Requirements***

Proposals for additions or changes to rules, legislation, and procedures should be performed in conjunction with the execution of the judicial branch Tactical Plan for Technology. Rule and legislative changes should generally be considered as part of the planning, design, and implementation of individual tactical plan initiatives since they need to apply to the technology being deployed. Only occasionally would rule, legislation, and procedure changes be considered independent of a specific technology initiative. In those cases, the topic would typically be of a general nature applying to all technology or multiple areas. For example, data and information privacy rules and legislation would likely not be associated with just a single technology but would apply to all technology solutions.

### ***Metrics (measures of progress toward implementation of this goal)***

- Number of legislative changes proposed per year in support of the strategic plan.
- Number of legislative changes implemented per year in support of the strategic plan.

## Alignment of Technology Goals

The goals of the proposed Strategic Plan for Technology strongly align with the goals of the judicial branch strategic plan. The chart below highlights the technology goals that support specific judicial branch goals. Note that all goals of the Strategic Plan for Technology support the primary goal for the overall branch of “Access, Fairness, and Diversity.”

Alignment with the Judicial Branch Strategic Plan	Branch Technology Goals			
	Promote the Digital Court	Optimize Branch Resources	Optimize Infrastructure	Promote Rule and Legislative Changes
<b>Overall Branch Goals</b>				
I. Access, Fairness, and Diversity	X	X	X	X
II. Independence and Accountability	X	X		X
III. Modernization of Management and Administration	X	X	X	X
IV. Quality of Justice and Service to the Public	X	X	X	X
V. Education for Branchwide Professional Excellence		X		
VI. Branchwide Infrastructure for Service Excellence	X	X	X	

There is no intention to align every technology goal with every branch goal. Each technology goal has a specific purpose, but it must support at least one of the branch goals.

The goals of the proposed Strategic Plan for Technology also strongly align with the California Department of Technology’s strategic plan for the state of California. The chart below highlights the state technology goals that support specific judicial branch goals. Note that all goals of the Strategic Plan for Technology support the primary goal for the state of “Responsive, Accessible, and Mobile Government.”

<b>Alignment with the Department of Technology Strategic Plan</b>	<b>Branch Technology Goals</b>			
	Promote the Digital Court	Optimize Branch Resources	Optimize Infrastructure	Promote Rule and Legislative Changes
<b>Overall State Goals</b>				
1. Responsive, Accessible, and Mobile Government	X	X	X	X
2. Leadership and Collaboration	X	X	X	X
3. Efficient, Consolidated, and Reliable Infrastructure and Services		X	X	
4. Secure and Manage Information as an Asset	X		X	X
5. Capable Information Technology Workforce		X		
6. Responsive and Effective IT Project Procurement		X	X	

Alignment with both the judicial branch strategic plan and the state’s strategic plan demonstrates how the judicial branch technology goals can support these overall goals. Furthermore, it aligns the work that court personnel perform to ensure that resources allocated to branch projects clearly understand how they are supporting the overall objectives of the branch and the state.

## CONCLUSION

The California judicial branch is as complex and diverse as the population that it serves. The judicial branch has diversity in geography, court size, and case types. Courts have varying fiscal health and capabilities and budget cuts have drastically affected their ability to invest in technology. This reduced funding results in a critical need to take full advantage of the remaining scarce technical resources and expertise within the branch.

At the same time, there is a high demand for access to justice. The public and attorneys want to interact with the courts like they do with other businesses—online and anytime. There is demand for integrated justice and a need to adapt to constant change in the environment. However, existing rules and legislation were written to address a paper-based court system rather than a digital electronic one.

This Strategic Plan for Technology and the associated Tactical Plan for Technology represent a comprehensive and cohesive technology strategy that includes clear, measurable goals and objectives at the branch level that address the diversity and challenges the branch is facing.

The proposed strategic plan recognizes the need for judicial, management, and technical experts located at the trial, appellate, and Supreme Court levels, and including the Judicial Council staff, working together as an IT community. The result will be a judicial branch where the courts act as innovation centers for the benefit of the legal community and public, increasing access to the courts.

## APPENDIX A: Formation of the Technology Planning Task Force

At the March 27, 2012 Judicial Council meeting, the council voted to terminate the California Court Case Management System (CCMS) as a statewide, enterprise case management system. Additionally, the council directed the CCMS Internal Committee, in partnership with the trial courts, to develop timelines and recommendations to the council for:

- Establishing an approach and vision for implementing technology that serves the trial courts, litigants, attorneys, justice system partners, and the public while considering available resources and technology needs;
- Leveraging the CCMS V4 technology and developed software to benefit ongoing judicial branch technology solutions;
- Providing technology solutions in the near term to improve efficiencies in court operations, by maximizing the value of document management systems, e-filing capabilities, and e-delivery services for the benefit of litigants, attorneys, justice partners, and the public;
- Establishing a judicial branch court technology governance structure that would best serve the implementation of the technology solutions otherwise included in these recommendations;
- Developing alternatives for the CCMS V4 early adopter court, San Luis Obispo, to meet its current case management system needs; and
- Developing strategies to assist trial courts with existing critical case management system needs.

A Judicial Branch Technology Initiatives Working Group was created in June 2012 and launched a series of technology workstreams that were tightly scoped projects to address the short-term critical technology needs for the branch in six-months or less. They brought in direct participation from the courts to work together with the Judicial Council staff as an IT community. Both costs and risks were reduced as a result of the tight scope. By early 2013 they were successful in generating:

- a case management system request for proposal (RFP) resulting in three commercial software products selected for master services contracts;
- an e-filing roadmap and planning document;
- an assessment of CCMS V4 technology that could be leveraged for future opportunities; and
- foundational work for this governance and funding model.

The workstreams not only addressed the short-term technology needs of the branch and addressed the directives from the Judicial Council, but also provided an opportunity for the branch to work in a new model and catalyze the technology strategic planning process.

The California Department of Finance and the California Department of Technology (CalTech) have both indicated that the judicial branch needs to adopt a Strategic Plan for Technology to support long-term funding to meet judicial branch technology needs.

Additionally, the Bureau of State Audits (BSA)<sup>1</sup> reviewed the CCMS program and provided recommendations that the Judicial Council agreed to implement related to future technology projects for the judicial branch. The recommendations centered on concerns that the judicial branch follow a methodology for assessing need and monitoring technology budgets that is recognized by the legislative and executive branches of government.

The Judicial Branch Technology Summit was held on October 23–24, 2012 to assemble branch stakeholders for a collaborative discussion on branch technology governance, vision, and planning. A CalTech representative facilitated the discussion and suggested that the group work collaboratively to develop solutions and a cohesive, long-term plan for technology that meets individual court needs under the rubric of a consistent, branchwide vision.

The CalTech representative stated that the technology workstreams, a set of court-driven initiatives leveraging expertise within the branch to develop technology roadmaps, case management system master services agreements, and e-filing recommendations, were a good start toward a longer range strategic plan for technology. The representative emphasized that the strategic plan needs to include two critical components: (1) a technology governance model and (2) a technology roadmap.

While there is no requirement for all courts to rely on a single technology solution, it is imperative that the branch communicate its strategy in a unified manner and leverage common solutions, technologies, and funding in a collaborative consortium model.

After the Judicial Branch Technology Summit, the Chief Justice authorized the creation of a task force reporting to the Judicial Council Technology Committee. The task force was charged with:

- Defining judicial branch technology governance;
- Developing a strategic plan for technology at the trial, appellate, and Supreme Court levels; and
- Developing recommendations for funding judicial branch technology.

Specifically, the task force was tasked to:

- Work collaboratively with the courts and judicial branch stakeholders;
- Develop a comprehensive branchwide plan for technology governance that will delineate the parameters of state versus local decision-making for technology initiatives;
- Develop a strategic plan for technology that will provide direction and vision for technology within the branch;
- Develop a tactical plan for technology that will define the steps needed to achieve the goals defined in the strategic plan;

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<sup>1</sup> BSA has been renamed to California State Auditor.

- Develop administrative and technical guidelines;
- Identify and promote trial court collaboration and consortia for the benefit of technology;
- Develop recommendations for a stable, long-term funding source for judicial branch technology; and
- Delineate technology funding sources.

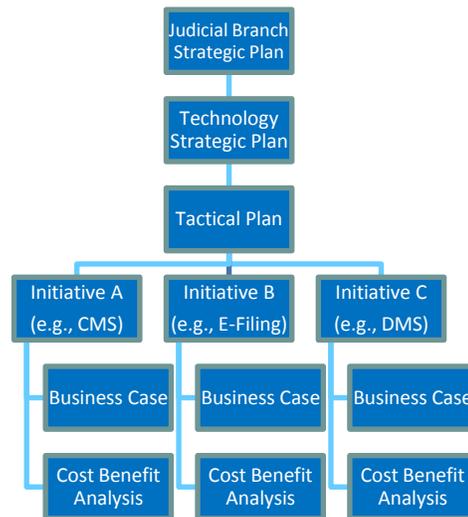
## APPENDIX B: Technology Planning Task Force Structure

The task force reports to the Judicial Council Technology Committee and will terminate in 2014 after the approval and publication of its recommendations.

The task force worked collaboratively to define judicial branch technology governance in terms of statewide versus local decision-making, to develop a strategic plan for technology across all court levels that provides a vision and direction for technology within the branch, and to develop recommendations for a stable, long-term funding source for supporting branch technology, as well as a delineation of technology funding sources.

The task force utilized a planning framework based on industry best practices and focused on two main concepts:

1. Treat the strategic plan as a roadmap that is used and referenced continually to help direct and focus branch efforts in technology rather than simply as a document that is written, published, and put on the shelf.
2. The technology strategic plan is a cascading plan. The judicial branch strategic plan and its goals drive a four-year technology strategic plan that then drives a detailed two-year tactical plan that contains individual initiatives and projects that align with the overall goals of the branch.



These best practices ensure that the planning process is thorough, efficient, and aligned—producing practical actionable results.

The work of the task force was divided into three tracks:

- **Governance**—determined the process for how the branch will prioritize and select technical programs.
- **Strategic Plan**—identified a prioritized list of goals and initiatives.
- **Funding**—proposed a mechanism for funding technology programs.

The following chart lists the participants of each track.

## Technology Planning Task Force Participants

	Governance (13)	Strategic Plan (16)	Funding (13)
Task Force Members (14)	<ul style="list-style-type: none"> <li>• <b>Jake Chatters (Lead)</b> (CEO Placer)</li> <li>• Justice Ashmann-Gerst (2<sup>nd</sup> Appellate)</li> <li>• Judge Buckley (Los Angeles)</li> <li>• Judge Herman (Santa Barbara)</li> <li>• Judge Moss (Orange)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Brian Cotta (Lead)</b> (CIO Fresno)</li> <li>• Justice Bruiniers (1<sup>st</sup> Appellate)</li> <li>• Judge Buckley (Los Angeles)</li> <li>• Jim Kalyvas (Attorney Los Angeles)</li> <li>• Robert Oyung (CIO Santa Clara)</li> <li>• Charlene Ynson (5<sup>th</sup> Appellate)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Judge Slough (Lead)</b> (San Bernardino)</li> <li>• Sherri Carter (CEO Los Angeles)</li> <li>• Judge Kaufman (Plumas)</li> <li>• Judge Reiser (Ventura)</li> </ul>
Track Participants (27)	<ul style="list-style-type: none"> <li>• Judge Barnes (Kings)</li> <li>• Rick Feldstein (CEO Napa)</li> <li>• James P. Fox (Attorney San Mateo)</li> <li>• Lisa Galdos (AEO Santa Clara)</li> <li>• Darrel Parker (CEO Santa Barbara)</li> <li>• Heather Pettit (CIO Sacramento)</li> <li>• Mike Roddy (CEO San Diego)</li> <li>• Renea Stewart (ITSO staff)</li> </ul>	<ul style="list-style-type: none"> <li>• Mark Dubeau (CFO Orange)</li> <li>• Mark Dusman (CIO ITSO staff)</li> <li>• Kim Flener (CEO Butte)</li> <li>• Judge Nadler (Sonoma)</li> <li>• Snorri Ogata (CIO Los Angeles)</li> <li>• Pat Patterson (CIO Ventura)</li> <li>• Mike Planet (CEO Ventura)</li> <li>• Ahn Tran (CIO San Joaquin)</li> <li>• Jeannette Vannoy (CIO Napa)</li> <li>• Gary Whitehead (CIO Riverside)</li> </ul>	<ul style="list-style-type: none"> <li>• Alan Carlson (CEO Orange)</li> <li>• Jessica Craven (ITSO staff)</li> <li>• Alan Crouse (CIO San Bernardino)</li> <li>• Rebecca Fleming (CEO Stanislaus)</li> <li>• Joseph Lane (2<sup>nd</sup> Appellate)</li> <li>• Mark Robinson (Attorney Orange)</li> <li>• Virginia Sanders-Hinds (ITSO staff)</li> <li>• Zlatko Theodorovic (CFO council staff)</li> <li>• Mary Beth Todd (CEO Sutter)</li> </ul>

There are 14 members on the task force and a total of 41 participants contributing to all three tracks representing 20 superior courts, three Courts of Appeal, and Judicial Council staff.